

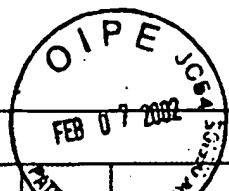


Form PTO-1449 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number KLYC-01056US8	Serial/Patent Number 10/037,236
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant/Patent Owner Zucherman et al.		
		Filing/Issue Date November 9, 2001	Group Art Unit: Unknown 3731	

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Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
D	U1	6,234,705 B1	5-2001	Troxel			
	U2	6,156,067	12-2000	Bryan et al.			
	U3	6,113,639	9-2000	Ray et al.			
	U4	6,022,376	2-2000	Assell et al.			
	U5	6,001,130	12-1999	Bryan et al.			
	U6	5,976,186	11-1999	Bao et al.			
	U7	5,888,226	3-1999	Rogozinski			
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	U15	5,676,702	10-1997	Ratron			
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	U18	5,653,761	8-1997	Pisharodi			
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	U21	5,609,634	3-1997	Voydeville			
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DR	U26 5,534,029	7-1996	Shima	1		
	U27 5,534,028	7-1996	Bao et al.	1		
	U28 5,514,180	5-1996	Heggeness et al.	1		
	U29 5,505,732	4-1996	Michelson	1		
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	U35 5,443,514	8-1995	Steffee	1		
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	U38 5,390,683	2-1995	Pisharodi	1		
U39	5,387,213	2-1995	Breard et al.	1		
U40	5,352,225	10-1994	Yuan et al.	1		
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U43	5,290,312	3-1994	Kojimoto et al.	1		
U44	5,263,953	11-1993	Bagby	1		
U45	5,258,031	11-1993	Salib et al.	1		
U46	5,192,327	3-1993	Brantigan	1		
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U50	5,092,866	3-1992	Breard et al.	1		
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	U56 5,035,716	7-1991	Downey			
	U57 5,026,373	6-1991	Ray et al.			
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	U62 4,946,378	8-1990	Hirayama et al.			
	U63 4,936,848	6-1990	Bagby			
	U64 4,932,975	6-1990	Main et al.			
	U65 4,913,134	4-1990	Luque			
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	U73 4,714,469	12-1987	Kenna			
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	U75 4,685,447	8-1987	Iversen et al.			
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	U77 4,643,178	2-1987	Nastari et al.			
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	U79 4,611,582	9-1986	Duff			
	U80 4,604,995	8-1986	Stephens et al.			
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*David S. Reg*

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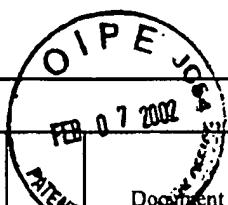
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	U87 4,401,112	8-1983	Rezaian			
	U88 4,369,769	1-1983	Edwards			
	U89 4,349,921	9-1982	Kuntz			
	U90 4,309,777	1-1982	Patil			
	U91 3,875,595	4-1975	Froning			
	U92 3,867,728	2-1975	Stubstad et al.			
	U93 3,648,691	3-1972	Lumb et al.			
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✓	U95 2,677,369	5-1954	Knowles			

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Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Trans-lation Yes No
DP	F1	WO 01/28442 A1	4-2001	PCT			*
	F2	WO 00/04851	2-2000	PCT			✓
	F3	WO 00/13620	3-2000	PCT			✓
	F4	WO 00/13619	3-2000	PCT			✓
	F5	FR 2782911 A1	3-2000	France			✓
	F6	FR 2780269 A1	12-1999	France			✓
	F7	WO 99/59669	11-1999	PCT			✓
	F8	WO 99/42051	8-1999	PCT			*
	F9	WO 99/40866	8-1999	PCT			*
	F10	WO 99/26562	6-1999	PCT			*
	F11	WO 98/48717	11-1998	PCT			*
	F12	EP 0767636 B1	4-1997	EPO			✓
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	F15 FR 2717675	9-1995	France			✓
	F16 FR 2707864 A1	1-1995	France			✓
	F17 WO 94/26192	11-1994	PCT			*
	F18 WO 94/21185	9-1994	PCT			✓
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	F20 WO 91/16018	10-1991	PCT			✓
	F21 2015507	1-1991	Canada			✓
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	F24 EP 322334 A1	12-1988	EPO			*
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	F26 EP 146347 A1	12-1984	EPO			*
	F27 EP 140790 A2	10-1984	EPO			✓
✓	F28 DE 3113142 A1	1-1982	Germany			✓

\* English Abstract attached

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DP	O1	Minns, R.J., et al., <i>Preliminary Design and Experimental Studies of a Novel Soft Implant for Correcting Sagittal Plane Instability in the Lumbar Spine</i> , SPINE Volume 22, Number 16, pp.1819-1825, © 1997, Lippincott-Raven Publishers
	O2	Waldemar Link, brochure entitled <i>Wirbelsäulen-Chirurgie: Instrumentarium Und Implantate Zur Wirbelsäulen-Chirurgie</i> (Spinal Surgery: Instrumentation and Implants for Spinal Surgery), Waldemar Link, Hamburg, Germany
	O3	Haruo Tsuji, et al., <i>Ceramic Interspinous Block (CISB) Assisted Anterior Interbody Fusion</i> , Journal of Spinal Disorders, Vol.3, No.1, pp.77-86, ©1990 Raven Press, Ltd., New York
✓	O4	Richard W. Porter, MD, FRCS, FRCSE, <i>Spinal Stenosis and Neurogenic Claudication</i> , SPINE Volume 21, Number 17, pp.2046-2052, ©1996, Lippincott-Raven Publishers

Examiner *David A. Ray*

Date Considered *4/3/05*

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Form PTO-1449 (Substitute)		DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number KLYC-01056US8	Serial/Patent Number 10/037,236
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant/Patent Owner Zucherman, et al.		
		Filing/Issue Date November 9, 2001	Group Art Unit 3732 3731	

U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date

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Examiner Initial		Patent Application Publication Number	Publication Date	Applicant

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Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No

*David Kep*

4/3/05

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DR	F1	EP 1138268	4/20/01	Europe			**
DR	F2	FR 2806616		France			**
DR	F3	FR 2806614		France			**

\*\* English Abstract attached

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)


Examiner *David Lep* Date Considered *4/3/05*

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Form PTO-1449 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket Number KLYC-01053US8 SRM	Serial/Patent Number 10/037,236
<i>Information Disclosure Statement BY APPLICANT (Use several sheets if necessary)</i>				Applicant/Patent Owner James F. Zucherman et al.	OCT 01 2003
				Filing/Issue Date November 9, 2001	Group Art TECHNOLOGY CENTER 3700 3731

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### U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
<i>D</i>	A1	2,456,806	12/21/1948	Wolffe	33	174	1/14/1947
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### U.S. PATENT PUBLICATIONS

Examiner Initial		Patent Application Publication Number	Publication Date	Applicant

### PENDING U.S. PATENT APPLICATIONS

Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No

### FOREIGN PATENT DOCUMENTS

Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Trans-lation Yes   No

### OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)

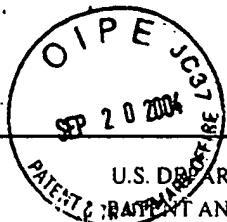
C1	Copy of International Search Report dated June 30, 2003
Examiner <i>David O. Key</i>	Date Considered <i>4/3/05</i>

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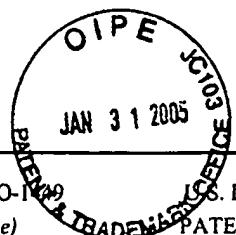
Form PTO-1449 (Substitute) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE				Attorney Docket Number <b>KLYC-01056US8</b>	Serial/Patent Number <b>10/037,236</b>		
<i>Information Disclosure Statement BY APPLICANT (Use several sheets if necessary)</i>				Applicant/Patent Owner <b>JAMES F. ZUCHERMAN, ET AL.</b>			
				Filing/Issue Date <b>November 9, 2001</b>	Group Art Unit <b>3731</b>		
<b>U.S. PATENTS</b>							
Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
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Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No		

<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Trans- lation Yes   No

<b>OTHER DOCUMENTS</b> (Include author (if any), title, publisher and place of publication, date and pertinent pages)							
<i>CDR</i>	<input checked="" type="checkbox"/>	International Search Report mailed May 12, 2004 for International Application No. PCT/US03/27109.					
Examiner	<i>David Lef</i>			Date Considered	<i>4/3/05</i>		

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Form PTO-149 (Substitute)		Attorney Docket Number KLYC-01056US8	Serial/Patent Number 10/037,236
<i>Information Disclosure Statement BY APPLICANT (Use several sheets if necessary)</i>		Applicant/Patent Owner Zucherman et al.	
		Filing/Issue Date 11/09/2001	Group Art Unit 3731

### U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date

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Examiner Initial		Patent Application Publication Number	Publication Date	Applicant

### PENDING U.S. PATENT APPLICATIONS

Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No

### FOREIGN PATENT DOCUMENTS

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✓		FR 2 724 554	03/22/1996	France	A61B	17/70	
✓		FR 2 722 088	01/12/1996	France	A61B	17/70	
✓		FR 2 705 227	11/24/1994	France	A61F	2/44, 2/46	
✓		GB 780,652	08/07/1957	Great Britain	A61F		

### OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)

Examiner <i>Dick Ray</i>	Date Considered <i>4/3/05</i>
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